



Attorney Docket No.: 15685P031

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

ROGER ROGARD, ET AL.

Application No.: 09/676,887

Filed: September 29, 2000

For: **DOWNLINK TRANSMISSION IN A
WIRELESS DATA COMMUNICATION
SYSTEM HAVING A BASE STATION
WITH A SMART ANTENNA SYSTEM**

Art Group: Unassigned

Examiner: Unassigned

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INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure under 37 CFR § 1.56 and in accordance with 37 C.F.R. § 1.97, enclosed is a copy of Information Disclosure Citation Form PTO-1449 together with copies of the documents cited on that form. It is respectfully requested that the cited documents be considered and that the enclosed copy of the Information Disclosure Citation Form PTO-1449 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

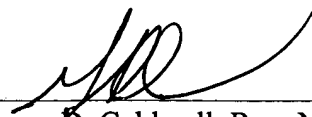
Pursuant to 37 C.F.R. § 1.97, the submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any additional fee due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: August 14, 2001




Gregory D. Caldwell, Reg. No. 39,926

12400 Wilshire Blvd., 7th Floor
Los Angeles, California 90025
Telephone: (503) 684-6200

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 to the Patent and Trademark Office on: August 14, 2001.



Mary E. Wainner

08/14/01

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FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

Complete if Known

Application No. 097676,887
Filing Date September 29, 2000
First Named Inventor Roger Rogard
Examiner Name Unassigned
Group/Art Unit Unassigned
Attorney Docket Number 15685P031

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TOTAL AMOUNT OF PAYMENT (\$)

METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to credit any overpayments to:

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

☒ Charge Any Additional Fee(s) Required Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

☐ Applicant claims small entity status. See 37 CFR 1.27.

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)

2. EXTRA CLAIM FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
103	18	203	9	Claims in excess of 20	
102	80	202	40	Independent claims in excess of 3	
104	260	204	135	Multiple Dependent claim, if not paid	
109	80	209	40	**Reissue independent claims over original patent	
110	18	210	9	**Reissue claims in excess of 20 and over original patent	

SUBTOTAL (2) (\$)

FEE CALCULATION (continued)

3. ADDITIONAL FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	390	216	195	Extension for response within second month	
117	890	217	445	Extension for response within third month	
118	1,390	218	695	Extension for response within fourth month	
128	1,890	228	945	Extension for response within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	130	123	130	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____
Other fee (specify) _____

* Reduced by Basic Filing Fee Paid SUBTOTAL (3) (\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type) Gregory D. Caldwell Registration No. 39,926 Telephone (503) 684-6200
Signature [Signature] Date 08/14/01

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Form PTO-1449
(REV. 8-83)U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

015685.P031

SERIAL NO.

09/676,887

INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

APPLICANT

Roger Rogard

FILING DATE

09/29/00

GROUP

2681

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	3,704,465	11/28/72	Masak et al.			
	3,774,209	11/20/73	Fleming et al.			
	3,798,645	03/19/74	Baurle et al.			
	3,852,749	12/03/74	Kohler			
	3,946,385	03/23/76	Ewen			
	4,005,379	01/25/77	Lerner			
	4,035,746	07/12/77	Covington Jr.			
	4,085,319	04/18/78	Deitz et al.			
	4,128,740	12/05/78	Graziano			
	4,263,568	04/21/81	Nemit			
	4,316,191	02/16/82	Sawatari et al.			

FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO
2 237 706 A	5/8/91	United Kingdom				
2 295 524 A	5/29/96	United Kingdom				
2 313 261 A	11/19/97	United Kingdom				

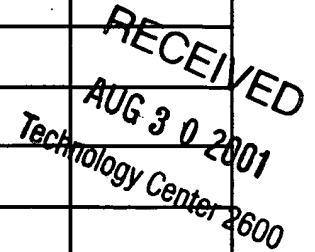
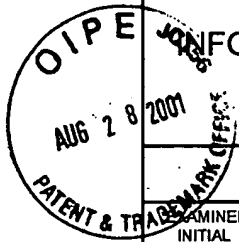
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Agee, "Blind Separation and Capture of Communication Signals Using A Multitarget Constant Modulus Beamformer", 10/7/89 Proc. IEEE Military Communications Conference, Vol. 2, pp. 1-12.
	Aschied et al., "An All Digital Receiver Architecture for Bandwidth Efficient Transmission at High Data Rates", 1989, IEEE Transactions on Communications, Vol. 37, No. 8, pp. 804-813.

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	4,375,622	03/01/83	Hollingsworth et al.			
	4,434,505	02/28/84	Gutleber			
	4,475,010	10/02/84	Huensch et al.			
	4,626,859	12/02/86	Stansfield			
	4,639,732	01/27/87	Acoraci et al.			
	4,639,914	01/27/87	Winters			
	4,658,096	04/14/87	West, Jr. et al.			
	4,737,794	04/12/88	Jones			
	4,737,975	04/12/88	Shafer			
	4,742,356	05/03/88	Kuipers			
	4,750,147	06/07/88	Roy, III et al.			

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DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO
0 639 035 A1	2/15/95	EPO				
0 713 261 A1	5/22/96	EPO				
0 777 400 A2	6/4/97	EPO				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Franks, "Synchronization Subsystems: Analysis and Design", 1981, Digital Communications Satellite/Earth Station Engineering, pp. 294-335.

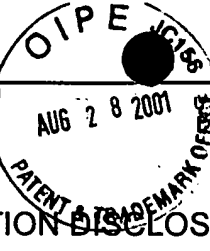
Friedlander, "Direction Finding Using an Interpolated Array", 4/3/90, International Conference on Acoustics, Speech, and Signal Processing, Vol. 5, pp. 2951-2954.

Friedlander et al., "Direction Finding for Wideband Signals Using an Interpolated Array", 1991, IEEE Publication, pp. 583-587.

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	4,775,997	10/04/88	West Jr. et al.			
	4,796,291	01/03/89	Makino			
	4,827,395	05/02/89	Anders et al.			
	4,829,554	05/09/89	Barnes et al.			
	4,837,800	06/06/89	Freeburg et al.			
	4,855,748	08/08/89	Brandao et al.			
	4,910,794	03/20/90	Mahany			
	4,922,517	05/01/90	West, Jr. et al.			
	4,926,186	05/15/90	Kelly et al.			
	4,940,963	07/10/90	Gutman et al.			
	4,947,452	08/07/90	Hattori et al.			

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DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO
95/34103	12/14/95	WO				
98/01963	1/15/98	WO				
98/17037	4/23/98	WO				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

Ganz et al., "A Data-Derived Reference Signal Technique for Adaptive Arrays", IEEE Transactions on Communications, Vol. 37, No. 9, 9/1989, pp. 975-983.

Iltis et al., "A Digital DS Spread-Spectrum Receiver With Joint Channel and Doppler Shift Estimation", IEEE Transactions on Communications, Vol. 39, No. 8, 8/1991, pp. 1255-1267.

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	4,955,082	09/04/90	Hattori et al.			
	4,965,732	10/23/90	Roy, III et al.			
	4,965,849	10/23/90	Kunihiro			
	4,965,850	10/23/90	Schloemer			
	4,972,151	11/20/90	Rosen			
	4,989,204	01/29/91	Shimizu et al.			
	5,041,833	08/20/91	Weinberg			
	5,052,799	10/01/91	Sasser et al.			
	5,093,924	03/03/92	Toshiyuki et al.			
	5,103,459	04/07/92	Gilhousen et al.			
	5,109,535	04/28/92	Kume et al.			

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DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO
98/17071	4/23/98	WO				

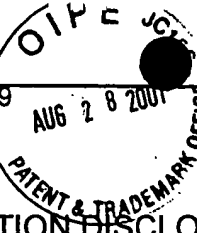
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Lee et al., "Decision Directed Carrier Recovery - Chapter 16: Carrier Recovery", 1994 Digital Communications, 2nd Edition, Kluwer Academic Pub., pp. 725-736.
	Lee et al., "Decision Directed Carrier Recovery - Chapter 17: Timing Recovery", 1994 Digital Communications, 2nd Edition, Kluwer Academic Pub., pp. 737-764.
	Lundell et al., "Applications of the Constant Modulus Adaptive Beamformer to Constant and Non-Constant Modulus Signals", Proceedings, 1998 Asilomar Conference on Signals, Systems, and Computers (ACSSC-1998), pp. 432-436.
EXAMINER	DATE CONSIDERED

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U.S. PATENT DOCUMENTS

*EXAMINER INITIAL	-	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
		5,124,697	06/23/92	Moore			
		5,142,253	08/25/92	Mallavarpu et al.			
		5,159,593	10/27/92	D'Amico et al.			
		5,255,210	10/19/93	Gardner et al.			
		5,260,968	11/09/93	Gardner et al.			
		5,262,789	11/16/93	Silverstein			
		5,274,844	12/28/93	Harrison et al.			
		5,283,540	02/01/94	Myer			
		5,299,148	03/29/94	Gardner et al.			
		5,335,249	08/02/94	Krueger et al.			
		5,345,596	09/06/94	Buchenhorner et al.			

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FOREIGN PATENT DOCUMENTS

DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
					YES	NO
7-170548	4/7/95	Japan				X

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Muhamed et al., "Direction of Arrival Estimation Using Antenna Arrays", 1996, The Bradley Dept. of Electrical Engineering, Mobile and Portable Radio Research Group, Section 3.8, pp. 64-71.
	vander Veen et al., "A Constant Modulus Factorization Technique for Smart Antenna Applications in Mobile Communications", SPIE 1994 "Advanced Signal Processing Algorithms, Architectures, and Implementations V", Vol. 2296, pp. 230-241.
	Talwar et al., "Recursive Algorithms for Estimating Multiple Co-Channel Digital Signals Received at an Antenna Array", Proc. Fifth Annual IEEE Dual Use Technologies and Applications Conference.

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	5,361,303	11/01/94	Eatwell			
	5,367,559	11/22/94	Kay et al.			
	5,379,320	01/03/95	Fernandes et al.			
	5,387,915	02/07/95	Moussa et al.			
	5,423,072	06/06/95	Iwashita et al.			
	5,430,760	07/04/95	Dent			
	5,440,281	08/08/95	Wey et al.			
	5,448,621	09/05/95	Knudsen			
	5,457,812	10/10/95	Siira et al.			
	5,465,399	11/07/95	Oberholtzer et al.			
	5,471,647	11/28/95	Gerlach et al.			

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					YES	NO

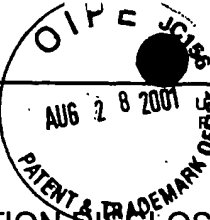
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Papadias et al., "A Space-Time Constant Modulus Algorithm for SDMA Systems", 1996, Proceedings, IEEE 46th Vehicular Technology Conference, pp. 86-90.
	Talwar et al., "Blind Estimation of Multiple Co-Channel Digital Signals Arriving at an Antenna Array", 1993, Proc. 27th Asilomar Conference on Signals, Systems, and Computers, Vol. 1, pp. 349-342.
	Rashid-Farrokhhi et al., "Joint Power Control and Beamforming for Capacity Improvement in Wireless Networks With Antenna Array", 1996 IEEE GLOBECOM 1996, Vol. 1, pp. 555-559.

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2681**U.S. PATENT DOCUMENTS**

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	5,475,864	12/12/95	Hamabe			
	5,475,868	12/12/95	Duque-Anton et al.			
	5,497,505	03/05/96	Koohgoli et al.			
	5,515,378	05/07/96	Roy, III et al.			
	5,530,449	06/25/96	Wachs et al.			
	5,530,917	06/25/96	Andersson et al.			
	5,532,706	07/02/96	Reinhardt et al.			
	5,537,438	06/16/96	Mourot et al.			
	5,543,801	08/06/96	Shawyer			
	5,546,090	08/13/96	Roy, III et al.			
	5,548,813	08/20/96	Charas et al.			

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OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	Rashid-Farrokhi et al., "Transmit Beamforming for Cellular Communication Systems", Conference on Information Sciences and Systems, CISS-97; 3/1997, 4 pages.
	Rashid-Farrokhi et al., "Downlink and Uplink Capacity Enhancement in Power Controlled Cellular Systems", Proceedings, 1997 IEEE 47th Vehicular Technology Conference, Vol. 2, 5/97, pp. 647-651.
	Rashid-Farrokhi et al., "Downlink Power Control and Base Station Assignment", IEEE Communications Letters, Vol. 1, No.4, 07/97, pp. 102-104.

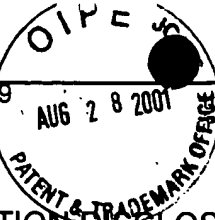
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	5,555,445	09/10/96	Booth			
	5,557,657	09/17/96	Barnett			
	5,565,873	10/15/96	Dean			
	5,566,209	10/15/96	Forssen et al.			
	5,576,717	11/19/96	Searle et al.			
	5,592,490	01/07/97	Barratt et al.			
	5,596,625	01/21/97	LeBlanc			
	5,603,082	02/11/97	Hamabe			
	5,603,089	02/11/97	Searle et al.			
	5,606,729	02/25/97	D'Amico et al.			

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Rashid-Farrokhhi et al., "Transmit Diversity and Equalization for Power Controlled Wireless Networks", Conference Record 31st Asilomar Conference on Signals, Systems, and Computers, Vol. 1, 11/97, pp. 620-624.

Swidlehurst et al., "Analysis of a Decision Directed Beamformer", IEEE Transactions on Signal Processing, Vol. 43, No. 12, 12/95, pp. 2920-2927.

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